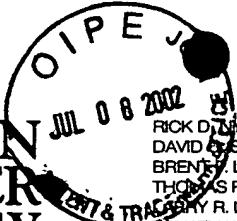


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EXPRESS MAIL LABEL NO.: EL 872 630 820 US

PATENT APPLICATION  
Docket No.: 13768.198.6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

**RECEIVED**

JUL 15 2002

Technology Center 2100

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- Form PTO-1449 list of three (3) references submitted for consideration.
- Legible copies of the listed references or their relevant portions.
- All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

- Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.
- Legible Copies of previously filed Information Disclosure Statement for application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- Promptness Certification.
- Check No. \_\_\_\_\_ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);
- Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_.
- In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 8 day of July, 2002.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



022913

PATENT TRADEMARK OFFICE

EXPRESS MAIL LABEL NO.: EL 872 630 820 US

PATENT APPLICATION  
Docket No.: 13768.198.6



#5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Mark Lucovsky, et al.

Serial No.: 10/003,767 ) Art Unit  
Filed: October 22, 2001 ) 2131  
Confirmation No.: 4885 )  
For: AUTHORIZING A REQUESTING ENTITY TO )  
OPERATE UPON DATA STRUCTURES )

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

RECEIVED

JUL 15 2002

Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

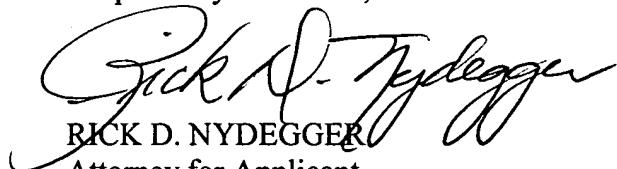
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 8 day of JUN, 2002.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



**022913**

PATENT TRADEMARK OFFICE

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EXPRESS MAIL LABEL NO.: EL 872 630 820 US

Form PTO-1449

Sheet 1 of 2

Applicant: Mark Lucovsky, et al.

Serial No.: 10/003,767

Att'y Docket No.: 13768.198.6

Filing Date: October 22, 2001

Group: 2131

Confirmation No.: 4885

For: AUTHORIZING A REQUESTING ENTITY TO OPERATE UPON  
DATA STRUCTURES



SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

Examiner Initial*	Patent Number	Issue Date	Name	Class	Sub Class	Filing Date
_____ A1.	5,956,715	09/21/99	Glasser et al.	707	9	09/23/96
_____ A2.	6,202,066	03/13/01	Barkley et al.	707	9	11/18/98

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner  
Initial\*

- \_\_\_\_\_ A3. Caswell, Deborah L., "An Evolution of DCE Authorization Services," *Hewlett-Packard Journal*, Vol. 46, No. 6, pages 49-54, December 1995.

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EL 872 630 820 US

Form PTO-1449

Sheet 2 of 2

Applicant: Mark Lucovsky, et al.  
Serial No.: 10/003,767  
Filing Date: October 22, 2001  
Confirmation No.: 4885

Att'y Docket No.: 13768.198.6  
Group: 2131

AUTHORIZING A REQUESTING ENTITY TO OPERATE UPON  
DATA STRUCTURES

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in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)				Docket No. 13768.198.6
Applicant(s): Mark Lucovsky, et al.				
Serial No. 10/003,767	Filing Date October 22, 2001	Confirmation No. 4885	Examiner unassigned	Group Art Unit 2131
Invention: AUTHORIZING A REQUESTING ENTITY TO OPERATE UPON DATA STRUCTURES				
<p>I hereby certify that the Transmittal letter (2 pages) (in triplicate); Supplemental Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of three (3) Cited References; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, DC 20231 on <u>JUN 8</u>, 2002.</p>				
<p><u>John Johnson</u> (Typed or Printed Name of Person Mailing Correspondence)</p>				
<p> (Signature of Person Mailing Correspondence)</p>				
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